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ABSTRACT

The North Carolina Department of Public Instruction has made considerable progress in removing barriers that tended to preclude women and minority group members from competing for jobs on an equal basis. However, there remains a need to identify and remove those discriminatory practices that may still exist in the department's employment procedures. This document presents the department's affirmative action plan. The introduction includes the equal employment opportunity/affirmative action policy, the sexual harassment policy/plan, plans for policy dissemination, program responsibilities, an analysis of employment distribution by race and sex, goals and timetables, sample affirmative-action programs, and procedures for program evaluation. Appendices contain a definition of terms, an equal employment opportunity form, an exit interview form, an employee evaluation form, a list of recruitment sources, guidelines for recruitment and employment, and other employment forms. (LMI)

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North Carolina Department of Public Instruction
Bob Etheridge, State Superintendent
January 1994

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**Raymond Goodman, Jr.
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Equal Employment Officer**

DEPARTMENT OF PUBLIC INSTRUCTION

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I. INTRODUCTION

The Department of Public Instruction is an equal opportunity employer. It is the policy of this department to ensure equal and fair treatment for all persons, regardless of race, color, religion, sex, age, disability, political affiliation or national origin, in all employment practices.

Equal Employment Opportunity is the Law

It is mandated by Federal and State Legislation, Presidential Executive Orders and definitive court decisions. Societal barriers have tended to discourage or preclude women and minority group members from participating fully in the opportunities presented by American life. Many discriminatory employment practices of the past remain so deeply embedded in basic institutions of society that these practices continue to have an extremely unequal effect on certain groups in our population, even when the employer has no conscious intent to discriminate.

The Department of Public Instruction has made considerable progress in removing barriers that tended to preclude women and minority group members from competing for jobs on an equal basis. However, there remains a need for positive, affirmative action to identify and remove those discriminatory practices which may still exist in this department's employment procedures.

Section A

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION POLICY

EQUAL EMPLOYMENT POLICY OF THE STATE OF NORTH CAROLINA

It is the policy of the State of North Carolina to provide equal employment for all qualified persons, and to prohibit discrimination in employment because of race, color, religion, sex, national origin, age or disabling condition. In furtherance of this policy, the State of North Carolina and its various subdivisions shall:

1. recruit, select, hire, place, train, and promote persons in all job classifications without regard to race, color, national origin, religion, creed, sex, age or disabling condition;
2. base selection, hiring and promotion decisions on valid requirements and criteria which are related to work performance and are necessary upon entry at that level;
3. administer employment practices including compensation, benefits, promotion, training, tuition assistance, termination, transfers, demotions and reduction-in-force objectively without regard to race, color, national origin, religion, creed, sex, age or handicapping condition;
4. provide, when necessary, reasonable accommodations for applicants, and/or employees' disabling conditions when doing so will enable them to successfully perform job duties or benefit from training;
5. prohibit retaliatory actions against employees or applicants for employment who make a charge of employment discrimination, testify, assist or participate in any manner in a hearing, proceeding or investigation of employment discrimination; and
6. assure a work environment that is free from discrimination.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION POLICY

The State Department of Public Instruction is committed to the provisions of the Civil Rights Act of 1965, the Age Discrimination Act of 1967, the Equal Pay Act of 1963, the Civil Rights Act of 1968, the Civil Rights Acts of 1966 and 1971, directives from the State Personnel Commission, and other applicable State and Federal laws. It is the policy of the Department that equal employment opportunity will be extended to all applicants and employees without regard to race, color, religion, sex, age, disability, political affiliation or national origin, and that positive efforts will be made by all supervising personnel to prevent discriminatory practices including sexual harassment.

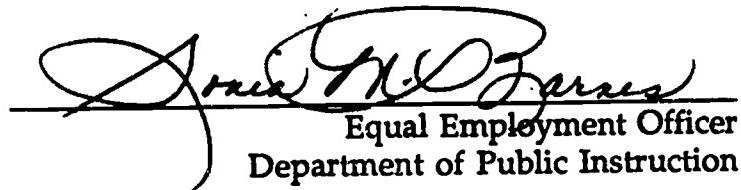
The State Department of Public Instruction prohibits retaliatory actions against employees or applicants for employment, who make a charge of employment discrimination, testify, assist or participate, in any manner, in a hearing, proceeding or investigation of employment discrimination.

In accordance with directions from the State Superintendent of Public Instruction appropriate action will be taken to ensure that all personnel transactions are handled in a fair and impartial manner. For information concerning these provisions contact the EEO Officer or Personnel Director, Education Building, 301 N. Wilmington St., Raleigh, North Carolina 27601-2825, (919) 715-1228.

Approved:



Bob Etheridge, State Superintendent
Department of Public Instruction



Donia M. D. Barnes
Equal Employment Officer
Department of Public Instruction



March 1, 1994
Date

Section B

SEXUAL HARASSMENT POLICY/PLAN

I. POLICY - SEXUAL HARASSMENT IS PROHIBITED IN THE WORKPLACE

The policy of the Department of Public Instruction is that no employee may engage in conduct that falls under the definition of sexual harassment indicated below. Personnel decisions shall not be made on the basis of granting or denial of sexual favors. All employees are guaranteed the right to work in an environment free from sexual harassment.

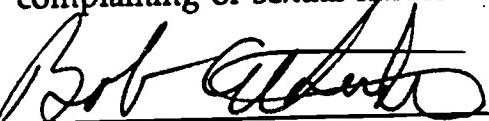
Sexual harassment shall henceforth be deemed a form of sex discrimination prohibited by North Carolina General Statutes 126-16. The State defines sexual harassment as deliberate, unsolicited, and unwelcome verbal and/or physical conduct of a sexual nature or with sexual implications by a supervisor or co-worker which: 1) has or may have direct employment and consequences resulting from the acceptance or rejection of such conduct; 2) creates an intimidating, hostile or offensive working environment; or 3) interferes with an individual's work performance.

Sexual harassment does not include personal compliments welcomed by the recipient or social interaction or relationships freely entered into by state employees or prospective employees. Every employee is entitled to work in an environment free of sexual harassment. An employee who feels that he/she has been sexual harassed may file a complaint using one of three procedures.

1. Follow the grievance procedure which includes:
 - a. Report the alleged misconduct to your immediate supervisor.
 - b. If the immediate supervisor is involved or you are not satisfied with the results of step a, report the misconduct to the personnel officer.
 - c. If you are not satisfied with the result of step b, appeal to the grievance committee.

- d. Employees who feel the matter cannot be resolved through the first three steps may begin with step d. Report the alleged misconduct to your Agency Head, Director of Internal Affairs or the Equal Employment Officer.
2. Request a hearing by the State Personnel Commission.
3. File a complaint with the Equal Employment Opportunity Commission (EEOC) or the Officer of Administrative Hearings (OAH).

A prompt and impartial investigation will be made of all cases alleging sexual harassment based on presented facts surrounding the misconduct. Any interference, coercion, restraint or reprisal of any person complaining of sexual harassment is prohibited.



Agency Head

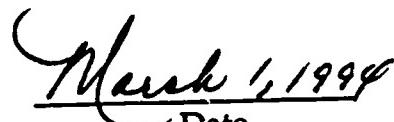


March 1, 1994

Date



EEO Officer



March 1, 1994

Date

II. OBJECTIVES

- A. To establish in the Department a work environment which is free of any conduct which can be determined to be within the realm of the definition of sexual harassment by:
 1. disseminating the policy statement for the Department and
 2. providing information to assist employees in becoming aware of sexual harassment through various means including in-service workshops, training and literature.
- B. To establish a procedure to report and to alleviate alleged conduct which has been identified as sexual harassment by:
 1. establishing a grievance procedure and
 2. developing a disciplinary action program.

Each objective will be evaluated quarterly to determine the success rate of implementation.

III. RESPONSIBILITY FOR IMPLEMENTATION

The primary responsibility and accountability for implementing this Sexual Harassment Plan lies with the State Superintendent. This responsibility has been delegated to the Director of Internal Operations, the EEO Officer, supervisory personnel and finally to all employees. The Affirmative Action Advisory Committee will assist each of the above in carrying out the necessary requirements of the plan and also serve as the coordinator of program activities. Listed below are some of the responsibilities of each group:

Personnel Office

- assisting in communicating the policy and plan to all employees

EEO Officer

- serving as a resource person to all employees
- advising where necessary all parties involved in cases alleging sexual harassment
- investigating appropriate cases of alleged sexual harassment

- administering and implementing the Department policy and plan
- working to prevent and correct any sexual harassment activities

Management Personnel

- counseling employees when appropriate to eliminate sexual harassment
- creating a work environment which is free of sexual harassment
- preventing and correcting any sexual harassment activities

Employees

- following the policy of the Department
- reporting sexual harassment activities or behavior
- assisting in the maintenance of a work environment free of sexual harassment

Affirmative Action Committee

- coordinating the designing of in-service activities on sexual harassment
- evaluating program activities
- monitoring the procedure and disciplinary action of all alleged cases of sexual harassment
- coordinating related activities

IV. APPROACH/ACTION STEPS

A. Training

The in-service program will be a part of the affirmative action training activities. It will include awareness, sensitivity to, identification and definition of, disciplinary programs, state and federal laws, corrective steps and other pertinent information relative to sexual harassment.

B. Counseling

Where appropriate, those victims of sexual harassment who need professional counseling will be referred to those persons in state government or the local community service agencies which can provide this service.

C. Grievance Procedure

In the event that a complainant does not feel comfortable discussing his/ her case with the immediate supervisor for the initial complaint, he/she can by-pass the immediate supervisor and

discuss his/her case with the chairperson of the Affirmative Action Committee or his/her designee.

D. Discipline

All cases alleging sexual harassment will be reviewed on an individual basis on the facts presented for the case. Any interference, coercion, restraint or reprisal against any person alleging sexual harassment is prohibited and will not be tolerated by the Department. All individuals will be given a fair and impartial hearing. Disciplinary action will be handled by the appropriate deputy/assistant superintendent with approval of the Department head.

E. Dissemination

The policy/plan will be communicated to all employees through the same vehicle as the Affirmative Action Plan, and will be posted in buildings where Public Instruction employees are housed.

F. Evaluation

The evaluation of this sexual harassment policy/plan will be done as a part of the Affirmative Action Plan evaluation.

Section C

POLICY DISSEMINATION

I. INTERNAL POLICY DISSEMINATION

A. Department Policies and Procedures Manual

A copy of the Equal Employment/Affirmative Action Policy is included in the Department Policies and Procedures Manual.

Action Date: Continuing. Responsible Official: Personnel Director.

B. Management Meetings

Regular meetings are held with Managers to explain the intent of the Department's policy and their individual responsibilities for effective implementation. Action Date: Continuing. Responsible Official: State Superintendent/Deputy State Superintendent.

C. Employee Meetings

Managers/Directors are provided handout materials with instructions to brief their employees at staff meetings on the Equal Opportunity Program. Action Date: Continuing. Responsible Official: Managers/Directors.

D. Memorandum to All Employees

A memorandum reaffirming the Department's commitment to Equal Employment Opportunity will be issued by the Department Head on or about February 1 of each year. Responsible Official: State Superintendent.

E. Government Notices

Required state and federal EEO Notices are conspicuously posted in the Education Building on the bulletin boards listed below:

- Office of Personnel Management, Room 2022
- The Basement, First, Second, Third, Fifth, Sixth and Seventh Floors and the Cafeteria

F. Employee Orientation

The EEO Policy is discussed in new employee orientation sessions. A copy of the Equal Employment Opportunity/Affirmative Action Policy Statement, sexual harassment policy and Americans with disability legislation will be included in each New Employee Packet. Action Date: Continuing. Responsible Official: Personnel Director.

- G. Equal Employment Opportunity/Affirmative Action Plan
A copy of the Equal Employment Opportunity/Affirmative-Action Plan will be sent to the offices of each Manager/Director upon approval by the EEO Division of the Office of State Personnel. Copies will be available for use and review by any employee of the Department and will be located in the Office of Internal Affairs and the Equal Employment Office.

II. EXTERNAL POLICY DISSEMINATION

A. Recruitment Sources

All recruitment sources are notified in writing of the Department's Equal Employment Opportunity Policy. Action Date: Annually and Continuing. Responsible Official: Equal Employment Officer.

B. Community Agencies, Organizations

Minority, women, veteran, disabled and rehabilitation organizations are notified in writing at least annually of the Department's non-discrimination policy. Action Date: Continuing. Responsible Official: Equal Employment Officer.

C. Communication Regarding Equal Employment Opportunity Written Program

An Equal Employment Opportunity brochure is provided to prospective employees. Action Date: Continuing. Responsible Official: Equal Employment Officer.

Section D

PROGRAM RESPONSIBILITIES

I. GOVERNOR

The Governor of the State of North Carolina has overriding responsibility for the State's equal employment opportunity policies and programs. The responsibility for the actual development and implementation of individual equal employment opportunity/affirmative action plans and programs is delegated by the Governor to each university chancellor and each head of a department of State and each head of a State agency or commission.

II. OFFICE OF STATE PERSONNEL

(Equal Opportunity Services Division)

Responsibility for the provision of technical assistance in EEO/AA and program review, monitoring and evaluation according to State Personnel Commission policy and guidelines is delegated to the Office of State Personnel. This responsibility is assigned to the Equal Opportunity Services Division of the Office of State Personnel. The responsibility of the Equal Opportunity Services Division include:

1. the approval of all affirmative action and sexual harassment prevention plans and the EEO/AA segment of all reduction-in-force plans;
2. the design and implementation of monitoring and reporting systems for affirmative action planning and for determining the effectiveness of each EEO/AA plan and program;
3. the provision of technical assistance for plan and program development and recommendation of corrective action where necessary;
4. the provision of assistance in identifying problem areas;
5. the development and implementation of EEO/AA support programs; and
6. the development and implementation of EEO/AA training programs.

III. AGENCY HEAD

The primary responsibility and accountability for implementing this Affirmative Action Program rests with the State Superintendent. Direction is provided to subordinates as necessary to carry out all actions required to meet the Department's equal employment opportunity commitment.

- A. Participation in problem identification and goal setting.
- B. Regular discussions with management, supervisors, and employees to be certain that Departmental policies and procedures are being followed.
- C. Review qualifications of employees to ensure that minorities, disabled and women are given full opportunity for transfers and promotions.
- D. Take immediate action to prevent discrimination and harassment, including sexual harassment, of all employees.
- E. Responsibility for compliance with Departmental policy of equal employment opportunity in all personnel actions under their supervision.
- F. Delegate responsibility to the Director of Internal Operations, the Equal Employment Officer and the affirmative action advisory committee for the development, implementation and monitoring of this plan.

IV: PERSONNEL OFFICE

- A. Posting job vacancy announcements on Departmental bulletin boards.
- B. Sending job vacancy announcements to recruitment sources.
- C. Responsibilities for adherence to the Department's Equal Employment Opportunity Policy in all relationships with employees and applicants for employment.
- D. Inform applicants for employment about the Department's Affirmative Action Program including the sexual harassment policy.

- E. Responsibility for advising all employees on issues addressed in the Personnel Policies and Procedures Manual.
- F. Provide a program of orientation and training in equal employment and sexual harassment compliance for all managerial personnel and others who make or authorize personnel actions.
- G. Provide specialized advice and counseling to Managers and employees in the Agency for the purpose of resolving complaints relative to affirmative action informally.

V. OTHER MANAGEMENT

All management is personally responsible for providing equal opportunity to all employees with regard to work assignments, training, transfers, promotions, demotions, terminations and other conditions and privileges of employment. All management employees have been informed of the Department's Equal Employment Opportunity/Affirmative Action Policy.

It is the responsibility of Managers/Directors at all levels of management to regularly review the performance of their subordinates to be sure that non-discrimination is a fact. All management is also responsible for, but not limited to, the following:

- A. Assistance in the identification of problem areas and the establishment of goals.
- B. Periodic audit of training programs, hiring and promotion patterns to remove impediments to the attainment of goals.
- C. Review of qualifications of all employees to ensure that minorities, women, and disabled employees are given full opportunities for transfers and promotions.
- D. Career counseling for all employees.
- E. Take action to prevent harassment of all employees.
- F. Responsibility for compliance with Departmental policy of equal employment opportunity in all personnel actions under their supervision.
- G. Insure that minorities, women and the disabled have adequate representation and participation in all training programs.

VI. AFFIRMATIVE ACTION ADVISORY COMMITTEE

The duties of the EEO Committee include, but are not limited to:

1. Creating a communication link between agency management and employees and EEO Staff on various aspects of the EEO plan, program and potential EEO problem areas in the agency through regular meetings (at least once a month);
2. reviewing and evaluating the existing equal employment opportunity plan;
3. reviewing statistical data on the representation of protected group workers in each occupational category in the agency workforce;
4. discussing relevant legal and moral issues that impact on EEO mandates;
5. Surveying the organizational climate, employee attitude and evaluating data objectively and without regard to race, color, national origin, religion, creed, sex, age or disability;
6. prohibit retaliatory actions against employees or applicants for employment who make a charge of employment discrimination, testify, assist or participate, in any manner, in a hearing, proceeding or investigation of employment discrimination; and
7. assure a work environment that is free from discrimination.

VII. EEO OFFICER FUNCTIONS

- A. Overall management of the Affirmative Action Program including membership on the departmental Affirmative Action Committee.
- B. Assisting in the development, assessing and implementation of the written AA Department Plan.
- C. Plan briefing conferences for Managers/Directors on the Departmental AA Plan.
- D. Provide general information to Managers/Directors, women, minorities, the disabled, and others on AA policies and procedures.
- E. Assist in the counseling service to Department employees in all matters relative to career development.

- F. On-going, periodic analyzing of the Department's workforce data to identify existing and potential EEO programs and/or needs; and workforce utilization and underutilization.
- G. Monitoring the flow of protective groups through the Department by monitoring hiring, promotions, transfers and terminations.
- H. Prepare monthly reports to the agency head regarding progress and problems encountered in the Affirmative Action Plan.
- I. Arrange meetings with top management to discuss the EEO program, report on the employees' concerns, and recommend EEO policy changes and additions.
- J. Identify recruitment sources, programs for career mobility, and other activities designed to strengthen the EEO program.
- K. Communicate information about the EEO program to other employees and managers.
- L. Plan and implement programs to educate the agency workforce regarding EEO concepts and procedures.
- M. Provide specialized advice and counseling to managers and employees in the agency for the purpose of resolving affirmative action complaints.
- N. Conduct and maintain a file on regarding exit interviews of all terminated employees.
- O. Provide copies of the Grievance Procedure and the Affirmative Action Plan for departmental employees and applicants upon request.

Section E

**FEMALE AND MINORITY WORKFORCE ANALYSIS
BY
SURVEY OF EMPLOYMENT DISTRIBUTION BY RACE AND SEX**

DEPARTMENT OF PUBLIC INSTRUCTION

The December 31, 1993, Survey of Employment Distribution by Race and Sex reflects the underutilization of personnel in the following North Carolina SOC Categories:

The State Department of Public Instruction has a workforce that totals 744 permanent full-time employees as of December 31, 1993. Minority employees (175) represents 23.5% of the Department's total permanent full-time employees. The total workforce composition reflects very little underutilization of minorities based on population distribution of the State.

Women are underutilized in the Officials and Administrators category by a total of 9% or 7 employees, 2 white and 5 minority. In the Management Related Occupations category, women are underutilized by .05% or 4 employees, 4 white. In the Professional Specialty category, women again are underutilized by .05% or 17 employees, 9 white, 6 black and 2 other. There is no underutilization of women in the Technicians and Technologists category. In the Administrative Support including Clerical, there is a slight underutilization of other minority females that total a -2. Firefighters, Police and Guards have a 50% underutilization of Women or 3 employees, 2 white and 1 minority. It should be noted that this SOC category only have a total of 6 employees. The Skilled Craft category have an underutilization of 33% or 3 employees, 2 white and 1 minority. The total for this SOC category is also low with a total of 9 employees.

Underutilization of minority men exist in five categories. In all five categories, there is minimum underutilization. Minority men are underutilized in the Officials and Administrators category by only 2% or 1 black and 1 other minority. In the Management Related category minority males are underutilized by only a -1. In the area of Professional Specialty minority men are underutilized by .05% or 1 black and 1 other minority male.

In the Technicians and Technologists SOC minority males are underutilized by .06% or 1 black male. Administrative Support including Clerical category have a .75% underutilization of minority males, 21 employees or 17 blacks and 4 other minority males. The department continues to make concerted efforts to address this underutilization, but very few males apply for clerical positions. There is no underutilization of minority males for Firefighters, Police and Guards category. The Skilled Crafts SOC also did not have an underutilization of minority males.

Because of individuals reluctance to list handicapped conditions when seeking employment, it is difficult to determine the number of disabled individual currently employed. The department will implement several activities to update personnel profiles of its employees in an effort to identify individuals from this protected class.

The December 31, 1993 Work Force/Labor Force Analysis, PM 863, indicates that permanent full-time disabled employees are underutilized in the following categories:

STANDARD OCCUPATIONAL CLASSES	NUMBER
Officials/Administrators	10
Management Related Occupations	11
Professional Specialty	40
Technicians & Technologists	2
Administrative Support Including Clerical	35
Skilled Crafts	2
Firefighters, Police and Guards	1

The aforementioned list is derived from the Occupation Specific Criterion and from the Total Labor Force Criterion Agency under representation figures.

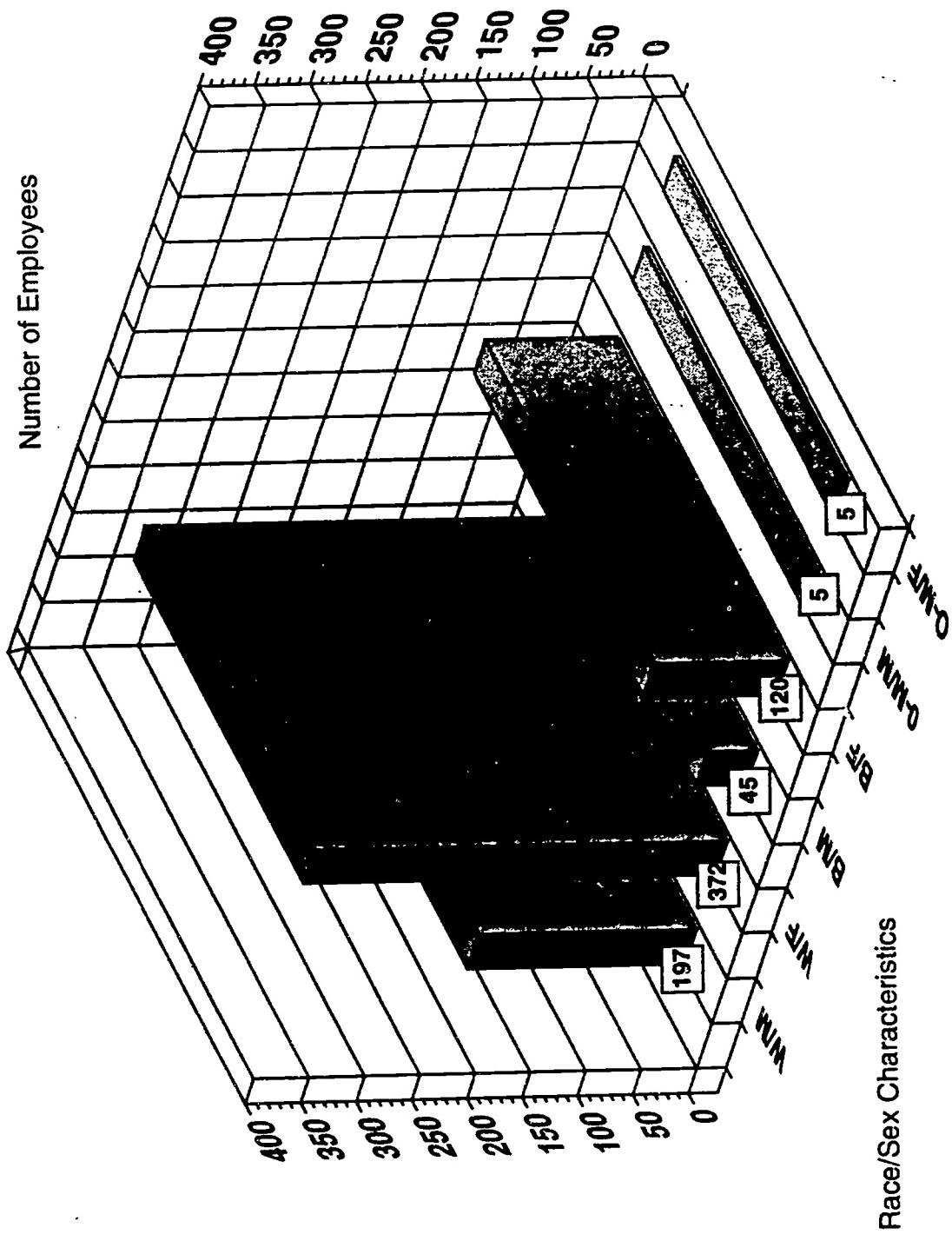
The following percentages are used in determining under/overutilization for the available State civilian workforce based on the population distribution of the 1990 Census. Data were derived from Profile 2-Persons by Age, Race, Sex and Hispanic Origin. These data were provided by the North Carolina Employment Security Commission, Labor Market Information Division.

The following percentages are used in determining under/over utilization
for the available State workforce.

WOMEN 66.0

MINORITIES 23.5%

North Carolina Department of Public Instruction
Employment Distribution by Race and Sex
December 31, 1993



Section F

GOALS AND TIMETABLES

Goals

Many have confused the term quotas with goals. A quota implies a fixed numerical requirement, whereas, a goal represents a commitment to an effort for a reasonable period of time to remediate the effects of past discrimination. The goals of the Department of Public Instruction represent reasonable, significant, measurable and attainable steps toward equal employment with an affirmative action objective which states that:

The primary equal employment objective for the Department of Public Instruction is to achieve, within a reasonable period of time, an employee race and sex profile for each position category which is an appropriate reflection of proper utilization as compared with the population statistics of North Carolina.

Nothing in this objective requires the hiring of unqualified minorities, women, or whites. Determination of who is qualified must be made in accordance with the job-related criteria. Secondly, this objective does not require firing or displacing present employees in order to hire new employees for affirmative action purposes. Thirdly, the primary objective does not foreclose opportunities for those not previously excluded.

Reasonable Time

Reasonable time is used in the context of such length of time as may be allowed or required, depending upon such factors as anticipated turnover, expansion or contraction, availability of individuals with required skills, realistic appraisal of extent of skill necessary for particular jobs, time necessary to acquire such skill and similar considerations. Reasonable time is defined in this document as a four-year period. This is contingent upon the above conditions being conducive for meeting our goals.

Immediate steps will be taken to assure that race, color, age, sex, national origin, disabilities or other non-merit reasons are not factors in compensation for employees or determination of opportunities for advancement. The need for such actions usually becomes apparent through careful examination of salary levels as they are delineated in the workforce utilization analysis.

The following affirmative action goals with concomitant objectives are identified to help the Department of Public Instruction meet its EEO obligations.

GOAL I: The workforce of the Department of Public Instruction will be reflective of the ethnic categories, both male and female, of the State of North Carolina.

Affirmative Action Need:

As vacancies for all positions with the Department become available the recommending administrator will recommend employees of various ethnic categories, both male and female, for all vacancies. In those position categories in which protected group members are underutilized, an inordinate search will be made to find and employ those individuals to alleviate underutilization.

GOAL II: All personnel transactions will conform to relevant equal employment assurances and guarantees (Uniform Selection Procedures Guidelines).

Affirmative Action Need:

1. Maintain personnel records in a manner consistent with applicable employment practices and laws and regulations and with the requirements of this plan.
2. The Office of Personnel Management will develop specific steps to be taken to assure the appropriate representation of males and females of various ethnic categories in its applicant pool to include an active affirmative action file.
3. The Office of Personnel Management will develop search strategies for identifying qualified males and females of various ethnic categories for jobs in those categories in which minorities and women qualify.
4. The Office of Personnel Management will maintain at least the following records in support of this

Affirmative Action Plan:

- (a) Applicant flow by race, sex, national origin, and source of applicants.
- (b) Hires by race, sex, and national origin.
- (c) Initial placement after hired, department or school to which assigned, and position by race, sex, and national origin.

- (d) Transfers, demotions, and promotions by race, sex, national origin; position and school or department from which transferred or promoted, and position and school or department to which transferred or demoted.
- (e) Voluntary and involuntary terminations by race, sex, national origin, type of termination and reason thereof.
- (f) A record of all employees receiving training by race and sex will be maintained.

Affirmative Action Need:

1. All personnel involved in the hiring process will be carefully selected and trained in matters relating to job demands and the capabilities of persons with certain disabilities to ensure equal access is provided.
2. The Office of Personnel Management will seek assistance from recruiting sources, including state employment agencies, state vocational rehabilitation agencies or facilities, sheltered workshops, college placement officers, state education agencies, labor organizations of, or for, disabled individuals to meet this goal.
3. The Department of Public Instruction invites all applicants and employees who have disabilities to identify themselves. The identification process will be handled in a discretionary manner. This information is to be used to reasonably meet the federal and state reporting requirements for:
 - a. accommodation and
 - b. accessibility to the disabled.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**

1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction

Division:

SOC CATEGORY: Officials and Administrators

SUB-CATEGORY:

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

10
G.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**

1994 AFFIRMATIVE ACTION PLAN

AGENCY: Department of Public Instruction

Division:

SOC CATEGORY: Management Related

SUB-CATEGORY: _____ **Accountants and Auditors** _____

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE UNDERUTILIZED

1994 AFFIRMATIVE ACTION PLAN

Department of Public Instruction
AGCY/INIV:

Division:

SOC CATEGORY: Management_Related

SUB-CATEGORY: Inspectors and Compliance Officers

Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**

1994 AFFIRMATIVE ACTION PLAN

AGGREGATE INVENTORY Department of Public Instruction

Division:

SOC CATEGORY: Management Related

SUB-CATEGORY: Management Analyst

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

10

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**
1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction
 SOC CATEGORY: Professional Specialty

Division: _____
 SUB-CATEGORY: _____

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		13	1	0	0	1	0	15	0	1	1
UNDERUTILIZED 12/31/93		-5	-1	-2					-3	-2	-7
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:	OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE	
All Classes	1	1							1		
TOTAL THROUGH 1994	1								1		

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

4.3

JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE UNDERUTILIZED

1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction
SOC CATEGORY: Professional Specialty

Division:
SUB-CAT

Computer, Mathematical and
Operations Research

EO INFORMATION		W/M	W/F	E
EMPLOYED	12/31/93	29	15	
UNDERUTILIZED	12/31/93		-4	

EOO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		29	15	1	3	1	0	49	3	5	18
UNDERUTILIZED 12/31/93		-4	-4	-4	-2				-5	-5	-6
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:		OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
All Classes		3	1	1	1			3			
TOTAL THROUGH 1994											
		3	1	1	1			3			

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE UNDERUTILIZED
1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction

Division:

SOC CATEGORY: Professional Specialty

SUB-CATEGORY: Social Scientists and Urban Planners

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		0	5	0	2	0	0	7	2	2	7
UNDERUTILIZED 12/31/93			-1								
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:	OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE	
All Classes	1	1					1				
TOTAL THROUGH 1994		1						1			

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

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**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**

1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction _____
SOC CATEGORY: Professional Specialty _____

Division: _____ Elementary and Secondary
SUB-CATEGORY: _____ School Teachers _____

EO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		67	103	11	22	3	3	209	6	39	128
UNDERUTILIZED 12/31/93				-9	-1	-1	-2		-29	-10	
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:		OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
All Classes		2		1			1	2			
TOTAL THROUGH 1994			2					1	1	2	

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**
1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction Division: _____
 SOC CATEGORY: Professional Specialty SUB-CATEGORY: Pharmacists, Dieticians,
Therapists & Physician Assistants

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		1	11	1	4	0	0	17	17	5	15
UNDERUTILIZED 12/31/93		-	-	-	-	-	-	-3	-3	-	-
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:	OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE	
All Classes	1	1					1				
TOTAL THROUGH 1994		1					1				

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**
1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction
SOC CATEGORY: Professional Specialty

Division: _____
SUB-CATEGORY: Public Relations, Writers and Artists

		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EEO INFORMATION		2	4	1	0	0	0	7	1	1	4
EMPLOYED 12/31/93											
UNDERUTILIZED 12/31/93						-1					-1
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:		OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
All Classes		1			1			1			
TOTAL THROUGH 1994								1		1	

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**

1994 AFFIRMATIVE ACTION PLAN

SOC CATEGORY: Technicians and Technologists

AGCY/UNIV: Department of Public Instruction

Division: _____
SUB-CATEGORY: _____

Science Technologists and Technicians

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED	12/31/93	0	11	1	5	0	0	17	1	6	16
UNDERUTILIZED	12/31/93		-1						-2		
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:	OPG.	W/M	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE	
All Classes	1	1						1			
TOTAL THROUGH 1994									1		1

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

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**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**

1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction

Division:

SOC CATEGORY: Administrative Support including Clerical

SUB-CATEGORY:

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		9	146	6	73	0	1	235	4	80	220
UNDERUTILIZED 12/31/93				-17		-4	-2			-35	
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:		OPG.	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
All Classes		2		1				1	2		
TOTAL THROUGH 1994									1	2	

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

**JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE
UNDERUTILIZED**
1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction _____

Division: _____

SOC CATEGORY: Firefighters, Police and Guards _____

SUB-CATEGORY: _____

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED 12/31/93		4	0	2	0	0	0	6	0	2	0
UNDERUTILIZED 12/31/93		-2		-1				-1		-3	
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:	OPG.	W/M	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE	
All Classes	2	1		1			2				
TOTAL THROUGH 1994		2	1		1		2				

*Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.

JOB OPENING ESTIMATES/PLACEMENT GOALS FOR OCCUPATIONS IN WHICH PROTECTED GROUPS ARE UNDERUTILIZED

1994 AFFIRMATIVE ACTION PLAN

AGCY/UNIV: Department of Public Instruction
SOC CATEGORY: Skilled Crafts

Division: SUB-CATE

Mechanics & Repairers
Construction/Production

SUB-CATEGORY

EEO INFORMATION		W/M	W/F	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE
EMPLOYED	12/31/93	5	1	3	0	0	0	9	0	3	1
UNDERUTILIZED	12/31/93		-2		-1				-2		-3
PLACEMENT GOALS											
1994 TARGET CLASSIFICATIONS:	OPG.	W/M	B/M	B/F	O/M	O/F	TOTAL	DISB	MRTY	FMLE	
All Classes	2			1			2				
TOTAL THROUGH 1994	2								1		2

***Placement goals are to represent a net increase in employment which does not include placements of minority, female or handicapped workers that maintain their current representation levels.**

Section G

AFFIRMATIVE ACTION PROGRAMS

Benefits and Conditions of Employment

All benefits and conditions of employment will be available to all employees of the Department of Public Instruction without regard to race, religion, sex, national origin, disability, or age. Each employee will be informed of employee benefits in orientation sessions and will have equal opportunity to take advantage of such benefits.

Departmental Grievance Procedure

Any permanent State employee having a grievance arising out of or due to their employment and who does not allege discrimination because of age, sex, race, color, national origin, religion, creed, disability, or political affiliation will first discuss their problem or grievance with their supervisor and follow the grievance procedure established by the Department.

The employee has the right to present a problem or appeal free from interference, restraint, coercion, or reprisal. Such time off will be provided from regular duties as may be necessary and reasonable for the presentation and processing of grievances or appeals without loss of pay, vacation, or other "time credits."

The policy is specifically written in the Department of Public Instruction's Personnel Manual, Policy Number 9-20. Basically, the steps in the Grievance Procedure are as follows:

STEP 1 – DISCUSSIONS BETWEEN EMPLOYEE AND IMMEDIATE SUPERVISOR

STEP 2 – DISCUSSIONS BETWEEN EMPLOYEE AND EQUAL EMPLOYMENT OFFICER AND/OR PERSONNEL DIRECTOR.

STEP 3 -- APPEAL TO THE GRIEVANCE AND APPEAL COMMITTEE

STEP 4 -- APPEAL TO THE OFFICE OF ADMINISTRATIVE HEARINGS (For employees who have a minimum of 5 years of continuous service only.)

Any employee who alleges discrimination should follow the steps listed on pages 3 and 4 of this plan.

Disciplinary Actions, Demotions, Terminations

All disciplinary actions, demotions, and terminations of employees of the Department of Public Instruction will be handled according to the policy adopted by the State Personnel Commission under authority of the State Personnel Act without regard to race, religion, sex, national origin, disability, or age.

Termination or reduction in force can be caused by dismissal or layoff due to cutback in funding of federal programs or deletion of programs or positions by the State Legislature.

It is and will be the policy of the Department of Public Instruction, in the event terminations are required for the reasons stated above, that these will be made in accordance with established procedures and without regard to race, religion, sex, national origin, disability, or age. All terminations or reduction in force (whether voluntary or involuntary) will be monitored and analyzed to insure that no protective group is adversely affected.

Exit Interview Program

The Department of Public Instruction has established an Exit Interview Program in which each permanent employee separating from the Department is requested to participate. At that time, the employee completes the Exit Interview Report and reviews the responses with a staff member from the Office of Personnel Management during a confidential interview session. The written report is treated confidentially and is not available for review. In the event trends in terminations, allegations of discrimination, or other personnel matters become a concern for management, they will be brought to the attention of the Department Head. A copy of the Exit Interview Report is located in Appendix C.

Internal Monitoring, Evaluation, Auditing and Reporting Procedures

An internal monitoring and evaluation system to audit personnel policy and personnel decisions is essential to ensure non-discrimination and the achievement of goals and timetables. Additionally, this process is essential for assessing the overall effectiveness of the equal employment opportunity program. In addition, it also provides data upon which to base recommendations for future actions.

The Department of Public Instruction EEO Plan provides an action-oriented internal monitoring and evaluation program to provide for:

1. the regular review and evaluation of the EEO plan and all EEO program activities on a monthly basis, with an annually summary;
2. monthly analysis of trends in hiring, promotions and etc.;
3. monthly reports to the Agency head on progress and problems; and
4. the update of the EEO plan as required by the Officer of State Personnel.

Personnel Policies and Procedures Manual

The Personnel Policies and Procedures Manual developed for use by the Department of Public Instruction and the State Personnel Department and Personnel Manual developed by the Office of State Personnel provide management with detailed specifics of personnel administration. It is recommended that reference be made to these sources for clarification as needed.

Recruitment

1. Each division will coordinate all recruitment efforts with the Office of Personnel Management which will develop a coordinated recruitment program with the Office of State Personnel and other sources.
2. The Office of Personnel Management will establish and maintain continuing relations with schools -- secondary, technical institutes, colleges, universities, and business and specialized schools which may have large numbers of minority, women, and disabled students.
3. Referrals will be requested from governmental agencies and programs such as the State Employment Security Commission, community action organizations, vocational rehabilitation agencies, and others. (A listing of referral agencies can be found in the Appendix E.)
4. An interviewing program which will include at least three applicants representative of the ethnic, the sex, and the disabled composition, where possible, composition of available applicants.

Selection

The Department of Public Instruction's selection process for employment will be reevaluated quarterly by the Department Head and the Personnel Director to determine if changes, revisions, and/or new procedures are needed. At this time, the job requirements, job descriptions, standards and procedures, pre-employment inquiries, application forms, interviewing processes, training requirements, the referral procedures, and the final approval process will be

examined. A copy of the Department's Selection Procedure can be found in Appendix F.

Training

The Department of Public Instruction provided a informal training program for Managers/Directors in the past relative to its Affirmative Action Plan. New Managers/Directors are required to attend the EEO Institute now in operation by the EOP-OSP.

Substantive information has been shared with Managers/Directors and others by the EEO Officer through memos, conferences and regularly scheduled staff meetings. This vehicle has worked well for the Department in the past but a structured training program will be developed and implemented. The Department's affirmative action committee will assist the EEO Officer and the Office of Personnel Management with the planning and implementation of a training program.

Section H

PROGRAM EVALUATION

Management of the Department of Public Instruction's Affirmative Action Plan which includes evaluation is the shared responsibility of the Director of Internal Operations and the EEO Officer. Records of all personnel employment transactions, particularly those of minorities and females, are monitored, analyzed and reported on for program evaluation purposes. Applications, new hires, transfers, promotions, demotions and terminations are all included in these records. Personnel functions which may be responsible for discrimination are identified and evaluated.

Areas of underutilization are identified and goals are established to correct utilization problems. These goals are based on the percentage of minorities and females in the population of North Carolina. Progress toward achieving the set goals are monitored by the Director of Internal Operations and the EEO Officer for the department and reported to the agency head for action.

Employing managers were regularly provided with information relative to the implementation of this affirmative action plan as it is related to present progress, weak areas and efforts toward meeting agency goals. All of this information was reviewed and evaluated with the assistance of EEO officer. Plans and strategies were then developed to assist each employing manager in the implementation of the Plan towards the goals and time tables which have been established.

The Department of Public Instruction does require supervisors/ managers to include in their Personnel Management System annual plans EEO/AA goals and objectives.

At present 23.5% (175) of the Department's full-time permanent employees are minority employees. Unquestionably, the department of Public Instruction will continue to work tirelessly to ensure that all hiring, promotions, transfers, etc. are carried out in a fair and equitable manner. All hires, promotions, transfers, terminations and demotions will be monitored weekly. Monthly reports will then be submitted to the Agency Head and Director of Internal Operations.

II. APPENDICES

APPENDIX A DEFINITION OF TERMS

Equal Employment Opportunity is an employer's posture that all personnel activities will be conducted in a manner as to assure equal opportunity for all. Such activities will be based solely on individual merit and fitness of applicants and employees related to the specific jobs and without regard to race, color, religion, sex, age, national origin, physical disability, political affiliation, or other non-merit factors.

Affirmative Action requires that an agency do more than ensure employment neutrality with regard to race, color, religion, sex, and national origin. As the phrase implies, affirmative action requires the employer to make additional efforts to recruit, employ, and promote qualified members of groups formerly excluded, even if that exclusion cannot be traced to particular discriminatory actions on the part of the employer. The premise of the affirmative action concept of the Executive Order is that unless positive action is undertaken to overcome the effects of systemic institutional forms of exclusion and discrimination, a benign neutrality in employment practices will tend to perpetuate the status quo ante indefinitely.

Annual Goal is an annual analysis target, expressed as both a number and a percentage, for placing minorities, women, and disabled persons in a job group for which underutilization exists.

Applicant for Employment is a person who files a formal application (Form PD-107) or by some other means (resume', letter, request, etc.) indicates a specific desire to be considered for employment in an advertised vacant position.

Applicant Flow Data is a statistical compilation of employment applicants showing the specific numbers of each racial, ethnic, and sex group who applied for each job title (or group of job titles requiring similar qualifications) during a specified time period.

Discrimination is illegal treatment of a person or group based on race, color, national origin, religion, sex, disability, or veteran status. The term also includes failure to limit the effects of past discrimination.

Sexual Harassment is a form of sex discrimination prohibited by NC General Statute 126.16 and EEOC Guidelines on Discrimination Because of Sex.

Disabled Individual is any person who (1) has a physical or mental impairment which substantially limits one or more of his or her major life activities; (2) has a record of such impairment, or (3) is regarded as having such an impairment. A disability is "substantially limiting" if it is likely to cause difficulty in securing, retaining, or advancing in employment.

Life Activities are activities including but not limited to communication, ambulation, self care, socialization, evaluation, vocational training, employment, transportation, or adaptation to housing.

Mandatory Job Listing is the provision under Section 402 of the Vietnam Era Veterans Readjustment Assistance Act which requires covered employers to list suitable job openings with the local office of the State Employment Service and OFCCP guidelines.

Systemic Discrimination is employment policies or practices which, though often neutral on their face, serve to differentiate or to perpetuate a differentiation in terms of conditions of employment of applicants or employees because of their race, color, religion, sex, national origin, disability or veteran's status. Systemic discrimination normally relates to a recurring practice rather than to an isolated act of discrimination, and may include failure to remedy the continuing effects of past discrimination. Intent to discriminate may or may not be involved.

Underutilization is employment of members of a race, ethnic, disabled class, or sex group in a job or job group at a rate below their availability.

Minority is any person identified as Black, Hispanic, Asian, Pacific-Islanders, American-Indian, or Alaskan national.

APPENDIX B

DEPARTMENT OF PUBLIC INSTRUCTION

1. Vacant Position _____ Position No. _____

Division _____

2. Vacancy Announcement: Yes _____ No _____

3. Please check one of the following:

a. New Hire _____ d. Transfer _____

b. Promotion _____ e. Other _____

c. Demotion _____ Specify _____

4. List the number of employees in the Division or Section:

Total _____ M _____ F _____ Minority M _____ F _____ White M _____ F _____

5. Applications Received:

Total _____ M _____ F _____ Minority M _____ F _____ White M _____ F _____

6. Applicants Interviewed:

Total _____ M _____ F _____ Minority M _____ F _____ White M _____ F _____

7. List the names of the final three candidates in alphabetical order. Place an asterisk by the candidate being recommended for the position. Identify the race/sex of each candidate.

a. _____

b. _____

c. _____

Cabinet Member

Date

Affirmative Action Officer

Date

State Superintendent/Designee

Date

(The Department of Public Instruction is an Equal Opportunity Employer)

APPENDIX C

NC Department of Public instruction

EXIT INTERVIEW REPORT

NAME: _____ **DIVISION:** _____

CLASSIFICATION/TITLE: _____

DATE OF EMPLOYMENT: _____ **LAST DAY OF WORK:** _____

Why are you leaving DPI? _____

If you're leaving for another job, list the advantages it offers over DPI? _____

What did you like most about DPI and your job? _____

The least? _____

Do you feel the people in your area/division/section are satisfied? YES _____ NO _____

If no, please indicate why: _____

In what ways do you feel the area/division/section where you worked could be improved? _____

(over)

If you could change one thing about the Agency, what would it be? Why? _____

Staff Development opportunities were: Excellent Good Poor

How could they be improved? _____

What staff development program or effort would most help:

Your current job? _____

Your Section/Division/Area? _____

DPI as a whole? _____

Your comments will be held in strict confidence and in no way will affect your references, etc. Nothing will be attributed to you as an individual. The information will be summarized and consolidated with responses to identify trends and used to improve the effectiveness of our agency.

INTERVIEWER'S COMMENTS

Rev. 7/15/92



Work Plan & Performance Appraisal

North Carolina Department of Public Instruction

Name: _____ SS#: _____ - - - Position Classification: _____
 Area/Division: _____

PURPOSE OF APPRAISAL

Annual _____ Probationary _____ Change of Supervisor _____

Supervisor's Name _____ Position: _____
 Performance/Work Plan Discussion: _____ / _____ Data _____ / _____ Supervisor Signature _____ Employee Signature _____
 Date of Interim Review Discussion(s): (1) _____ (2) _____ (3) _____
 Date of Performance Appraisal Discussion: _____
 Appraisal Period: _____ to _____

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(Provide photocopies of completed work plan & appraisal to employee)

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NORTH CAROLINA RATING SCALE

OUTSTANDING PERFORMANCE = O

Performance is far above the defined job expectations. The employee consistently does outstanding work, regularly going far beyond what is expected of employees in this job. Performance that exceeds expectations is due to the effort and skills of the employee. Any performance not consistently exceeding expectations is minor or due to events not under the control of the employee.

VERY GOOD PERFORMANCE = VG

Performance meets the defined job expectations and in many instances, exceeds job expectations. Performance generally is doing a very good job. Performance that exceeds expectations is due to the effort and skills of the employee.

GOOD PERFORMANCE = G

Performance meets the defined job expectations. The employee generally performs according to the expectations doing a good job. The employee is doing the job at the level expected for employees in this position. The good performance is due to the employee's own effort and skills.

BELOW GOOD PERFORMANCE = BG

Performance meets some of the job expectations but does not fully meet the remainder. The employee generally is doing the job at a minimal level, and improvement is needed to fully meet the expectations. Performance is less than a good job. Lapses in performance are due to the employee's lack of effort or skills.

UNSATISFACTORY PERFORMANCE = U

Performance generally fails to meet the defined expectations or requires frequent, close supervision and/or the redoing of work. The employee is not doing the job at the level expected for employees in this position. Unsuccessful job performance is due to the employee's own lack of effort or skills.

WORK PLAN / PERFORMANCE APPRAISAL

Page _____ of _____

Date Prepared _____

NAME _____

PRIMARY JOB RESPONSIBILITIES	RESULTS EXPECTATIONS (CRITICAL TASKS)	TRACKING SOURCE/FREQUENCY	ACTUAL RESULTS (Required for each expectation)	RATING (U, BG, G, VG, O)

IMPROVEMENT PLAN: (REQUIRED FOR ALL RATINGS BELOW GOOD)

WORK PLAN / PERFORMANCE APPRAISAL

Page _____ of _____

NAME _____

Date Prepared _____

BEHAVIORAL DIMENSIONS	BEHAVIORAL EXPECTATIONS TRACKING SOURCE/ FREQUENCY	ACTUAL BEHAVIORS (Required for each expectation)	RATING (U, BG, G, VG, O)

YEARLY PERFORMANCE APPRAISAL. SUMMARY SUPERVISOR COMMENTS



Full Text Provided by ERIC

EMPLOYEE COMMENTS:

DEVELOPMENTAL PLANS FOR MAINTAINING GOOD PERFORMANCE

Supervisor's Certification: I certify that (a) I am the immediate Supervisor of this position, that (b) I have provided a complete and accurate review of the responsibilities and duties of this position, (c) I have conducted a fair and equitable evaluation of the performance of this employee.

Signature _____ / _____
(print)
Date _____
Title _____

Employee's Certification: I certify that this review was discussed with me and that I had an opportunity to provide information on each evaluated item.
Signature _____ / _____
(print)
Date _____
Title _____

If the employee chooses not to sign this document, the manager is to document such and forward through appropriate channels.

Next Level Supervisor (Division Director or above): I certify that this evaluation completed by the above named supervisor is complete and consistent with the Department of Public Instruction Performance Management System.
Signature _____ / _____
(print)
Date _____
Title _____

Date _____
Title _____
(sign)
8.5

APPENDIX E
AFFIRMATIVE ACTION LIST
(Recruitment Sources)

Affirmative Action Director
Office of State Personnel
Administration Building
Raleigh, NC 27611

Career Services Center Director
Bennett College
301 S. Macon Street
Greensboro, NC 27401

Department of Community Colleges
Division of Staff Development
Women Education Building, Room 162
Raleigh, NC 27611

**Governor's Special Assistant for
Minority Affairs**
Governor's Office, State Capitol
Raleigh, NC 27611

Affirmative Action Officer
Hardbarger Jr. College of Business
P. O. Box 2505
Raleigh, NC 27602

Affirmative Action Officer
Johnston Technical Institute
P. O. Box 2350
Smithfield, NC 27577

Affirmative Action Officer
College of Durham, Inc.
410 W. Chapel Hill St.
Durham, NC 27701

Affirmative Action Officer
Kings College of Raleigh, Inc.
211 W. Martin Street
Raleigh, NC 27611

Affirmative Action Officer
Elizabeth City State University
Parkview Drive
Elizabeth City, NC 27909

Executive Director
Commission of Indian Affairs
P. O. Box 27228, Room 228
Raleigh, NC 27601

Executive Director
NC Council on the Status of
526 N. Wilmington Street
Raleigh, NC 27604

Affirmative Action Officer
Peace College
15 E. Peace Street
Raleigh, NC 27604

Affirmative Action Officer
Pembroke State University
Placement Office
Pembroke, NC 28372

Affirmative Action Officer
St. Augustine's Office
1315 Oakwood Avenue
Raleigh, NC 27611

Affirmative Action Officer Kings
Shaw University Durham Center
118 E. South Street
Raleigh, NC 27602

Affirmative Action Officer
Wake Technical College
9101 Fayetteville Road
Raleigh, NC 27603

Affirmative Action Officer
Livingstone College
Placement Office
Salisbury, NC 28144

Affirmative Action Officer
Louisburg College
510 N. Main Street
Louisburg, NC 27549

Affirmative Action Officer
Meredith College
3800 Hillsborough Street
Raleigh, NC 27611

Affirmative Action Officer
NC Agricultural and
Technical Institute
Greensboro, NC 27411

Affirmative Action Officer
North Carolina Central University
Shepard Station
Durham, NC 27707

Affirmative Action Officer
North Carolina State University
Center 2205 Hillsborough Street
Raleigh, NC 27607

Director
Southeast Technical Assistance Center
2013 Lejeune Boulevard
Jacksonville, NC 28540

Affirmative Action Officer
Winston-Salem State University
Station A
Winston-Salem, NC 27102

Director
Raleigh Technical Assistance Unit
301 N. Wilmington St.
Raleigh, NC 27601-2825

Director
NE Technical Assistance Center
705 Washington Street
Williamston, NC 27892

Director
SW Technical Assistance Center
3828 Old Charlotte Hwy
Monroe, NC 28110

Director
NW Technical Assistance Center
201 Curtis Bridge Road
Wilkesboro, NC 28697

Director
Western Technical Assistance
118 Main Street
Canton, NC 28716-4489

OTHERS RECEIVING VACANCY ANNOUNCEMENTS

Cabinet Members
Human Relations Councils/Commissions (City, County, or State)
Institute of Government
NC Black Leadership Caucus
Career Planning and Placement Officers (Public and Private Colleges/
Universities)
Local Education Agencies
Community Colleges/Technical Institutes

APPENDIX F

STATE DEPARTMENT OF PUBLIC INSTRUCTION

RECRUITMENT AND EMPLOYMENT GUIDELINES

I. ESTABLISHING RECRUITING PROCEDURES

When a vacancy occurs or a new position is established and a replacement employee is needed, the following procedures are required:

- Approval to fill the vacant position must be secured from the State Superintendent or his designee. This approval is usually initiated by the appropriate Assistant State Superintendent, or TAC Director for the Department of Public Instruction. This release of the position can be secured only through the use of Personnel Form 200. These forms are available on the AS400.
- The Division Director or designated manager should verify the official classification of the position, education and experience requirements, salary grade, budgeted amount and availability of salary reserve if needed before beginning with official recruiting efforts.
- If the position is at a level that requires advertising through the use of a numbered vacancy announcement, the Division Director should submit a draft of the employment authorization/vacancy announcement (Personnel Form 200) to the Office of Personnel Management. This vacancy announcement will be edited as needed and typed in final copy, reproduced and disseminated by the Office of Personnel Management. If special instructions are required for this dissemination, they should be clearly stated.
- For the purpose of clarification, all positions at Salary Grade 70 and above shall be considered professional and will be advertised in accordance with the Department's policy which requires that a vacancy announcement be distributed to each of the 120 Local Education Agencies and posted in designated areas in the Department's locations. To ensure that opportunity is provided for clerical, technical, and administrative support employees to apply for promotional opportunities, it is now required that all clerical/administrative support positions be advertised at least within the Department. The Office of Personnel Management will provide more comprehensive internal advertising as requested. Also, it is required that all positions at Salary Grade 63 and above be advertised by the use of a separate numbered vacancy announcement.

- All numbered vacancy announcements must have a ten-workday "open for applications" period.
- All clerical/technical vacancies must be posted until a suitable candidate can be identified through reviewing an appropriate mix of applications. These positions should be kept open at least one week.
- When employees of the Department have been affected by a Reduction-in-Force, the Department will follow the procedures outlined in the Reduction-in-Force policy approved by the State Board of Education and the Office of State Personnel. The Reduction-in-Force policy has been distributed to employees and copies are available in each division, including the Office of Personnel Management.
- Media Advertising -- If it is determined that a specific position requires an aggressive recruiting program, the Office of Personnel Management will prepare a suitable classified advertisement, subject to the approval of the appropriate supervisor, and will assume responsibility for placing the ad in the identified advertising sources.

II. RECRUITING PROCEDURES

In compliance with the State Personnel Commission's recruiting and referral system, the Office of Personnel Management will list each vacancy with the Employment Security Commission if recruitment for that position is intended by the Department. If recruiting is extended beyond the Department of Public Instruction and the local school administrative units, the Employment Security Commission will be requested to make referrals of qualified applicants. A copy of each vacancy announcement will be sent to the Reduction-in-Force Assistance Plan, Office of State Personnel, for a certified listing of qualified applicants on file for that class.

Special Note: AFFIRMATIVE ACTION RECRUITING

With regard to the Agency's commitment to affirmative action/equal employment opportunity, the positive efforts of all agency administrators to achieve this objective will be closely monitored. In this concerted effort to implement our adopted affirmative action plan, the State Superintendent has named an Affirmative Action Officer. This employee has the delegated responsibility and authority to assist agency management in ensuring compliance in all employment related activities. He/She is available to offer guidance to Division Directors and other administrators on all aspects of affirmative action. Further, he/she will work in close cooperation with

the Office of Personnel Management in developing policies, planning workshops, and other activities relevant to affirmative action. The Department has a specified form for use in reporting to agency management the affirmative action efforts used in recruiting/ promoting for positions. A copy of this form will be completed and included in the 210 package for recommending an employment action.

- The vacancy announcement instructions advise applicants to return applications to the Office of Personnel Management within established time limitations. At the point of collection of the applications, the Office of Personnel Management records basic data on all applications received including date of receipt, race, sex, position applied for, and supervisor's name who will process the application. Any supervisor receiving applications for a specific vacancy should route the application to the Office of Personnel Management for the same processing. Applicants must submit an application (Form 107) to the Office of Personnel Management in order for it to become an "official application" in this employment process.
- The Office of Personnel Management will acknowledge receipt of applications from applicants pursuing a position that has been advertised by a vacancy announcement (or by a newspaper advertisement.)

COMMUNICATING WITH APPLICANTS

- The Office of Personnel Management will serve as coordinator of screening committees as needed in the recruiting process. The screening committees will determine the applicants to be interviewed in the event the total number of applications received exceeds a reasonable number for the appointing authority to interview for the vacant position. The appropriate supervisor shall be primarily involved in the selection/appointment of a screening committee who will in turn select the applicants to be interviewed for the position. Consideration should be given to an appropriate representation of minorities, females, disabled, and representation of other concerned groups on the screening committees.

III. INTERVIEWING PROCEDURES

When conducting employment interviews, the functions of the position should be kept in mind and not the image of the employee being replaced. The interviewing supervisor should evaluate the minimum education and experience required to allow someone to function in the position after completing a customary training period. The supervisor should keep in

mind that the new employee will be subject to the provisions of the probationary employment policy. A new employee is not granted permanent status until the ability to function in the position is demonstrated. This period of probationary employment can be extended from three to nine months.

While different positions require different interviewing techniques in order to effectively match the best person with the position, all interviews should be conducted in a similar manner. To ensure that all applicants are given equal treatment, it is recommended that all applicants are consistently asked the same questions. This planned interview method will permit the supervisor to evaluate the applicant's responses objectively.

In the event the applicant is likely to be recommended for employment in a specific position, three letters of reference should be requested. These references should primarily include information on job performance, intellectual ability, quality of relationships with people, and career goals.

IV. EMPLOYMENT PROCEDURES

Final selection and employment recommendations are to be made at the Division level with appropriate input from higher authorities. In coordination with other interviewing supervisors or section heads, the Division Director should submit the employment request to the Assistant State Superintendent. This level of management will consult with the EEO Officer to ensure that positive affirmative action recruiting efforts have been conducted and that equal employment opportunity practices have been observed.

When the Deputy State Superintendent, or other official, and EEO Officer have officially approved the employment action, the employment request will be submitted to the Superintendent or his designee for final review. The employment request will then be routed to the Personnel Director. The Personnel Director will notify the Assistant Superintendent, TAC Director, or other authority designated when hiring may proceed. If modifications are made in the effective date, salary rate, etc., the contact person will be appropriately advised. The Division Director should contact the potential employee and confirm the employment commitment. In all employment actions, at least ten working days must be allowed between the time the written recommendation is made and the date for the employee to report for work.

Special Note: Reduced in force employees and other employees with priority employment rights must be considered before any employment

action can occur. The Department has an obligation to give priority consideration to employees included in the Reduction-in-Force.

The Division Director, or authorized supervisor, should prepare the employment request directed to the Personnel Director with the understanding that approval is required at all levels of management before it can be acted on officially by the Office of Personnel Management. The State Superintendent or designee shall approve all employment requests. Supervisors should avoid any commitment of employment to applicants until approval is given by all levels.

The Form 210 Package must include the following items for processing and approval in the Office of Personnel Management.

- Personnel Action Request - Form 210
- Application (original and 1 copy)
- Three references checked and attached to back of application for new hires
- Affirmative Action Form
- Copy of Social Security Card (on 8 1/2 X 11 paper)
- Credential Verification Form completed, signed, and dated
- Wage Agreement (for positions subject to the Fair Labor Standards Act)
- Applicant Referral Record and Worksheet completed

Space should be provided on the letter for signatures indicating approval of appropriate authority.

- Cabinet Member, Deputy State Superintendent
- EEO Officer
- State Superintendent
- Division Directors should contact the Office of Personnel Management before making a final salary commitment for new employees.

The Personnel Director or designee will notify management as soon as the 210 package is processed. If the effective date of employment should change from the date submitted on the Form 210, notify the Office of Personnel Management immediately in writing.

V. NOTIFICATION TO APPLICANTS

When a decision to fill a position has been fill a position has been approved by all levels, the Office of Personnel Management shall forward a letter to each applicant informing them that they have been selected or not selected for designated vacancy.

The Division Director should submit a "reported to work" letter to the Personnel Director on the new employee's first day of employment. If this

date differs from the originally requested date, this should be brought to the attention of the Personnel Director to ensure proper salary payment.

On the first day of employment, the Division Director should contact the Office of Personnel Management to arrange an appointment for the new employee orientation program (about one-half hour).

VI. REDUCTION-IN-FORCE

Purpose

The purpose of the reduction-in-force policy is to provide equitable procedures and fair treatment for the separation and recall of employees because of shortage of funds or work, abolishment of a position, or other material change in duties or organization.

Policy

Retention of employees in classes affected shall be based on systematic consideration of all the following factors: type of appointment, relative efficiency, actual and/or potential adverse impact on protected group individuals, and length of service. Temporary, probationary, and trainee employees in their initial six months of training shall not be retained in classes where permanent employees (those who have completed a probationary or equivalent trial period) must be separated in the same or related class.

The Agency Head or his/her designee shall provide the following information in writing to the employee as soon as possible regarding the affects of the reduction-in-force and priority consideration rights.

- (1) the reason for the reduction-in-force.
- (2) the effective date of separation.
- (3) priority consideration and the process of recall if applicable.

The Office of Personnel Management shall provide technical assistance to management and employees in the event a reduction-in-force is necessary. The following resources will be provided:

- (1) the effect upon benefits.
- (2) the employee's priority status and re-employment consideration.
- (3) the availability of assistance in seeking other employment through the dissemination of vacancy announcements and establishing a cooperative effort with the Office of State Personnel for facilitating referral to other State Government placement opportunities.

- (4) the right of appeal to the State level for a review to assure that systematic procedures were applied.

Affirmative Action Statement

In accordance with federal guidelines affecting equal employment opportunity and affirmative action, any applications of the Reduction-In-Force Policy will be analyzed to determine its impact in this area. A goal of the Department of Public Instruction is to achieve full parity with the racial distribution of the population; therefore, all decisions concerning a reduction-in-force will be examined by management to ensure that they do not cause underutilization by race and sex or adversely impact any protected groups.

Alternatives to Layoffs to Minimize Damage to EEO Gain

To the extent that the agency can implement measures to avoid a Reduction-In-Force, alternatives will be considered and evaluated. These alternative include but are not limited to:

- agency wide hiring freeze;
- transfer of employees to an area where they may retrain or already possess the minimum skills to perform the job; and
- work sharing (to the extent that positions affected are conducive for such).

If after thorough consideration and evaluation, alternatives are not feasible or do not meet the department's needs, layoffs will be planned.

Balancing Relative Efficiency and Length of Service

When reductions-in-force are being accomplished through separation of an employee where funds have been deleted for that specific position, a relative efficiency evaluation is not necessary. If an employee is separated as part of a reduction in the number of employees within a unit or program, a thorough evaluation must be done. In doing the evaluation, the department will strive to strike a reasonable balance between employees relative efficiency and length of service considering all of the following:

- employee's work record (performance);
- employee's skills (capability of being transferred and/or retrained);
- length of service. This will not be used alone since there is no direct correlation between length of service and the ability to perform other tasks. Consequently, the agency's long range manpower needs will not be met in addition to a decrease in protected group representation or recent gains since minorities are usually the last hired. Length of

service may be taken into consideration if a tie exists between two employees having comparable qualifications .

Reporting Procedures

The appointing authority (supervisor) will prepare a preliminary report to the appropriate management level and EEO Officer which identifies the protected group(s) where representation would be adversely affected by the lay off. This report will include an impact analysis of the reduction-in-force on the protected groups.

The report will include a description of the relevant divisions' status with regard to Affirmative Action goals including the area(s) in which reasonable representation has been achieved and additional areas in which particular difficulty in meeting Affirmative Action goals has been encountered. The report will include a list of documented attempts and alternatives actually utilized before effecting the layoff.

The preliminary report will be routed through the appropriate associate/assistant superintendent or deputy/associate/assistant controller and the EEO Officer for their review and signature of approval. The report at this time will automatically become the Final Report and Final List for layoffs. A failure to obtain approval of the individuals listed above would indicate damage to EEO gains and signal the preparation of a new preliminary report and preliminary list with less damaging effects.

Procedures for Internal Dissemination of the Reduction-In-Force Policy

The Reduction-In-Force Policy will be disseminated to all Department of Public Instruction managers. The Policy will be included in the Agency Affirmative Action Plan and the Personnel Manual where it is accessible to all employees.

Other Reduction-In-Force Issues

Other policy and procedure items regarding reduction-in-force, not specifically addressed in the Department of Public Instruction's policy, will be implemented according to the State policy found in Section 5 of the State Personnel Manual.

APPENDIX G

DEPARTMENT OF PUBLIC INSTRUCTION
FORM 200

(For Personnel Use Only)

EMPLOYMENT AUTHORIZATION/VACANCY ANNOUNCEMENT FORM

This form is to be completed with each vacancy and routed to the Office of Personnel Management after appropriate signatures have been obtained. For clerical-technical positions, the due date is Monday at 9:00 a.m. for the Tuesday vacancy announcement. For professional positions, the due date is Wednesday at 9:00 a.m. for the Thursday vacancy announcement.

Position Classification _____

Working Title _____

15 Digit Position Number _____

Organizational Area or Regional Center _____

Employee Replaced _____

Salary Grade _____ Budgeted Amount _____ Source of Funds _____

Closing Date Preferred _____

Check One:

Internal Announcement (open to DPI employees only)

External Announcement (open to DPI employees and the general public)

General Duties of Position:

General Duties of Position Continued: (Use additional pages if needed)

Recruitment Standards / Qualifications:

AUTHORIZATION FOR ADVERTISING

Will not be accepted in Office of Personnel Management
without management's signature

Cabinet Member

State Superintendent/Designee

Director, Office of Personnel Management

APPENDIX H

Form 210 (Rev. 1-90)

DEPARTMENT OF PUBLIC INSTRUCTION
PERSONNEL ACTION REQUEST

(Submit in Duplicate)

 Promotion New Hire Date Prepared _____ Demotion Transfer

Employee Name _____ Soc. Sec. No. _____

Employee Replaced _____ Position Classification _____

Organizational Area _____ Working Title _____

Contact Person's Name _____ Telephone Number _____

Funding Certified*					Amount		
Company	Source	Level	Object	RCC**	Center	Requested	FTE %
MSA Account Number							
MSA Account Number							
Position Number						Eff. Date of Employment	
Requested Salary			Grade			Budgeted Salary	
Reserve Requested						Projected Termination Date	(If temporary employee)

Justification for Salary Requested: (SEE ATTACHED)
 Justification for Selection of Applicant: (SEE ATTACHED)

AUTHORIZATION
 (Will not be accepted without management's signature)

Cabinet Member	Date
State Superintendent/Designee	Date
Director, Division of Fiscal Control Services	Date
Office of Personnel Management	Date

Form 210 is to be completed in duplicate with proper signature before forwarding to the Division of Budget Management for processing.

NOTE: Affirmative Action Form must be submitted on new hires and internal transfers.
 Form 210 will not be processed without the Affirmative Action Form, Credentials Verification Form, Wage Agreement and Applicant Referral Record and Worksheet.

* First 4 digits of Center (example: 1000, 1100, 1200, etc.)
 ** Use Old RCC if more than one funding source

Budget Office Use Only

J-10 Ref #	Date Approved
BD-606 Ref #	Date Approved
PD-105	Date Approved

/ / Date entered into the Budgetary Position Control System.

FORM 200

(Suggested Guidelines for Completing Personnel Form 200 for Employment Authorization)

This attached form is to be completed with each vacancy and routed to the Equal Employment Officer and the Chief Consultant, Personnel Management.

It is the intent of Personnel Management to provide each area, division, or section with the kind of advertising that reaches the most applicants with the kinds of education, experience, and vocational interests that would make them interested in the employment opportunities with the Department of Public Instruction. In order to initiate this advertising, we feel that it is important that we provide the "General Duties" and the "Recruitment Standards" sufficiently clear to encourage the quality of applicant to apply for our vacant positions. These general suggestions and this attached "Request for Advertising" form are intended to make it easier for the assigned supervisor to put together the basic for a vacancy announcement. Upon request, the Division of Personnel will provide guidance and suggestions for developing any aspect of vacancy announcement. For the purpose of offering suggestions, we have provided the following suggestions for developing the two primary sections of a vacancy announcement:

General Duties: This section must provide a general statement and then by more detailed statements of the type of work and responsibilities which characterize the job. Distinguishing characteristics of the position such as variety and difficulty of work, relative independence of action, supervision received and exercised, travel requirements, etc. should be outlined. This can be followed with a listing of examples of duties performed which illustrate a more specific picture of the duties assigned to the position. This area is not intended to limit the duties which may be assigned to an employee in the position but is intended to give an employee a general outline of the responsibilities and functions of the position.

Recruitment Standards – Qualifications: This section specifically addresses (a) knowledge, skills, and abilities – qualifications established in terms of what is required of a new employee at the time of employment into the position. They represent the most desirable combinations of education and experience that have been determined essential to success in the classification and for this specific position; (b) minimum education and experience -- translates knowledge, skills, and abilities into specific education and experience standards necessary for the position. Again, these standards are intended for entry level with the understanding that on-the-job training will develop the new employee to the desired level; (c) special requirements – address specific licensure, certifications, graduate degrees, minimum coursework requirements, etc.

necessary for the particular position that will allow an employee to function at entry level. These special requirements must be justifiable and acceptable to the Office of State Personnel if this represents a major departure from the established recruitment standards for the classification.

This form should be reviewed by the levels of management who are responsible for recruitment and selection of employees. This signed form signifies that the Department Head has authorized this position for the advertising process.

If you need assistance in completing these forms, please call Personnel Management at 715-1228.